



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/933,263 | 08/20/2001 | Daniel J. Eckert | 1713-0014 |

CONFIRMATION NO. 5259

FORMALITIES LETTER



OC000000006587137

Harold C. Moore
Maginot, Addison & Moore
Bank One Center/Tower
111 Monument Circle, Suite 3000
Indianapolis, IN 46204-5115

Date Mailed: 09/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

O I P E J C T S
JAN 24 2002
PATENT & TRADEMARK OFFICE

2044270-0933263

370.00 OP
65.00 OP01 FC:201
02 FC:205

A copy of this notice MUST be returned with the reply.

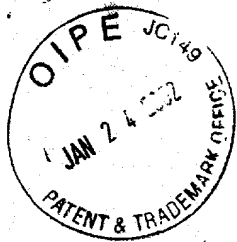
Jf

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2012712-6922660



COPY OF PAPERS
ORIGINALLY FILED

Sect 106

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

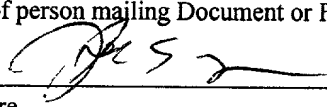
Assistant Commissioner for Patents
Attn.: Box Missing Parts
Washington, D.C. 20231

I hereby certify that this correspondence is being
deposited with the United States Postal Service with
sufficient postage as first class mail in an envelope
addressed to: Assistant Commissioner for Patents,
Washington, D.C. 20231 on December 21, 2001

(Date of Deposit)

Harold C. Moore

Name of person mailing Document or Fee


Signature

December 21, 2001

Date of Signature

Re: Patent Application of: Eckert et al.
Serial No.: 09/933,263
Confirmation No.: 5259
Filed: August 20, 2001
For: A Method of Managing Risk in a Security Based
on the Income of a Performer
Group Art Unit: 2164
Examiner: To be assigned
Our Docket No.: 1713-0014

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Please find for filing in connection with the above patent application the following documents:

1. Notice to File Missing Parts of Application (copy);
2. Executed Declaration and Power of Attorney;
3. Petition for Extension of Time;
4. Five (5) sheets of Formal Drawings;

5. Check in the amount of \$475.00, \$355.00 for small entity filing fee, \$65.00 fee for the surcharge, \$55.00 for the Petition for Extension of Time fee; and
6. One (1) return postcard.

Please charge any fee deficiency or credit any overpayment to Deposit Account No. 13-0014, but not to include payment of issue fees.

Respectfully Submitted,

MAGINOT, ADDISON & MOORE



December 21, 2001

Harold C. Moore
Registration No. 37,892
Bank One Center/Tower
111 Monument Circle, Suite 3000
Indianapolis, Indiana 46204-5115
(317)-638-2922 phone
(317)-638-2139 fax

Enclosures